



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Stephen K. Pinto et al.  
Serial No. : 10/826,630  
Filed : April 16, 2004  
Title : PREDICTIVE MODEL GENERATION  
Art Unit : 2121  
Examiner : Unknown

**MAIL STOP AMENDMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Applicants request consideration of the references listed on the attached PTO-1449 form. Under 37 C.F.R. § 1.98 (a)(2)(ii), only copies of foreign patent documents and/or non-patent literature are enclosed. Copies of any listed U.S. patents or U.S. patent application publications can be provided upon request.

This statement is being filed within three months of the filing date of the application or before the receipt of a first Office Action on the merits. Please apply any charges or credits to deposit account no. 06-1050, referencing 17146-007001.

Respectfully submitted,

Date: \_\_\_\_\_

2/24/05

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CERTIFICATE OF MAILING BY FIRST CLASS MAIL

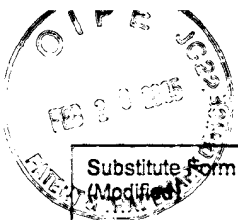
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CHERYL B. BROWN



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|--|--|---|-------------------------------|
| Substitute Form PTO-1449<br>(Modified)   | U.S. Department of Commerce<br>Patent and Trademark Office | Attorney's Docket No.<br>17146-007001       | Application No.<br>10/826,630 |
| <b>Information Disclosure Statement<br/>by Applicant</b><br>(Use several sheets if necessary)<br><br>(37 CFR §1.98(b)) |  | Applicant<br><b>Stephen K. Pinto et al.</b> |                               |
|  |  | Filing Date<br><b>April 16, 2004</b>        | Group Art Unit<br><b>2121</b> |

| U.S. Patent Documents |           |                 |                  |                 |       |          |                            |
|-----------------------|-----------|-----------------|------------------|-----------------|-------|----------|----------------------------|
| Examiner Initial      | Desig. ID | Document Number | Publication Date | Patentee        | Class | Subclass | Filing Date If Appropriate |
|                       | AA        | 5,692,107       | 11/25/1997       | Simoudis et al. |       |          |                            |
|                       | AB        | 5,826,250       | 10/20/1998       | Trefler         |       |          |                            |
|                       | AC        | 6,185,543       | 02/06/2001       | Galperin et al. |       |          |                            |
|                       | AD        | 6,269,325       | 07/31/2001       | Lee et al.      |       |          |                            |
|                       | AE        | 6,317,752       | 11/13/2001       | Lee et al.      |       |          |                            |
|                       | AF        | 6,640,215       | 10/28/2003       | Galperin et al. |       |          |                            |
|                       | AG        | 6,542,894       | 04/01/2003       | Lee et al.      |       |          |                            |
|                       | AH        | 6,631,360       | 10/07/2003       | Cook            |       |          |                            |
|                       | AI        | 6,782,390       | 08/24/2004       | Lee et al.      |       |          |                            |
|                       | AJ        | 2002/0052836    | 05/02/2002       | Galperin et al. |       |          |                            |
|                       | AK        | 2003/0018601    | 01/23/2003       | Lee et al.      |       |          |                            |
|                       | AL        |                 |                  |                 |       |          |                            |

| Foreign Patent Documents or Published Foreign Patent Applications |           |                 |                  |                          |       |          |             |    |
|---|-----------|-----------------|------------------|--------------------------|-------|----------|-------------|----|
| Examiner Initial  | Desig. ID | Document Number | Publication Date | Country or Patent Office | Class | Subclass | Translation |    |
|   |           |                 |                  |                          |       |          | Yes         | No |
|   | AM        | WO 99/22328     | 05/06/1999       | WIPO                     |       |          |             |    |
|   | AN        |                 |                  |                          |       |          |             |    |
|   | AO        |                 |                  |                          |       |          |             |    |

| Other Documents (include Author, Title, Date, and Place of Publication) |           |  |
|---|-----------|--|
| Examiner Initial  | Desig. ID | Document   |
|   | AP        | Commercial software: SPSS Clementine: <a href="http://www.spss.com/Clementine/index.htm">www.spss.com/Clementine/index.htm</a>   |
|   | AQ        | "On-line Seminar: How to keep customers and increase profits using predictive analytics powered by Clementine". <a href="http://www.spss.com/spssbi/directresponse/clementinewebinar/index.cfm?dcode=d4183">www.spss.com/spssbi/directresponse/clementinewebinar/index.cfm?dcode=d4183</a> |
|   | AR        | "SAS Enterprise Miner", <a href="http://www.sas.com/technologies/analytics/datamining/miner">www.sas.com/technologies/analytics/datamining/miner</a>   |
|   | AS        | SAS JMP: <a href="http://www.jmp.com">www.jmp.com</a>  |
|   | AT        | Clifford C. Clogg, et al., "Multiple Imputation of Industry and Occupation Codes in Census Public-Use Samples Using Bayesian Logistic Regression", <i>Journal of the American Statistical Association</i> , vol. 86, No. 413, pp. 68-78 (March 1991)                                       |

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| Examiner Signature   | Date Considered |
| EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |                 |

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| Substitute Form PTO-1449<br>(Modified)   | U.S. Department of Commerce<br>Patent and Trademark Office | Attorney's Docket No.<br>17146-007001 | Application No.<br>10/826,630 |
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|  |  | Filing Date<br>April 16, 2004         | Group Art Unit<br>2121        |

| Other Documents (include Author, Title, Date, and Place of Publication) |              |  |
|---|--------------|--|
| Examiner<br>Initial   | Desig.<br>ID | Document   |
|   | BA           | Roderick J.A. Little et al., <u>Statistical Analysis with Missing Data (2<sup>nd</sup> Edition)</u> , John J. Wiley & Sons, Inc., (2002), pp. 19-22; 166-188; and 292-309.                     |
|   | BB           | Donald B. Rubin, "Using Empirical Bayes Techniques in the Law School Validity Studies", <u>Journal of the American Statistical Association</u> , Vol. 75, No. 372, pp. 801-816 (December 1980) |
|   | BC           |  |
|   | BD           |  |

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| Examiner Signature   | Date Considered |
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